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| UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> | Attorney Docket No. | PD99-2788 |
| | First Inventor | Richard Willems |
| | Title | SYSTEM AND METHOD FOR COLLECTING SYSTEM DATA USING RECORD BASED REQUESTS WITH TAG LISTS AND PAUSING ALL BUT ONE THREAD OF A COMPUTER SYSTEM |
| | Express Mail Label No. | EL700671685US |

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| APPLICATION ELEMENTS | Assistant Commissioner for Patents Box Patent Application Washington, DC 20231 |
|-----------------------------|--|

- | | |
|--|---|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (submit an original and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>3. <input checked="" type="checkbox"/> Specification [total pages <u>39</u>] (preferred Arrangement set forth below)</p> <ul style="list-style-type: none">- Descriptive title of the Invention- Cross References to Related Applications- Statement Regarding Fed sponsored R&D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings- Detailed Description- Claim(s)- Abstract of the Disclosure <p>4. <input checked="" type="checkbox"/> Drawing(s) [total sheets <u>8</u>]</p> <p>5. <input checked="" type="checkbox"/> Oath or Declaration [total sheets <u>1</u>]</p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d))</p> <p>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</p> | <p>6. <input type="checkbox"/> Application Data Sheet. (See 37 CFR 1.76)</p> <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form</p> <p>b. <input type="checkbox"/> Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> |
|--|---|

ACCOMPANYING APPLICATION PARTS

- | | |
|---|---|
| 9. <input checked="" type="checkbox"/> Assignment Papers (coversheet/document(s)) | |
| 10. <input type="checkbox"/> 37 CFR. 3.73(b) Statement (when there is an assignee) | <input checked="" type="checkbox"/> Power of Attorney |
| 11. <input type="checkbox"/> English Translation Document | |
| 12. <input type="checkbox"/> IDS & Form 1449 | <input type="checkbox"/> Copies of IDS Citations |
| 13. <input type="checkbox"/> Preliminary Amendment | |
| 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) | |
| 15. <input type="checkbox"/> Certified Copy of Priority Document(s) | |
| 16. <input checked="" type="checkbox"/> Other: Certificate of Mailing by Express Mail | |

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: /

Prior application information: Examiner: Group/Art Unit:

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label or ☒ Correspondence address below

| | | | | | |
|---------|------------------------------|-----------|----------------|-----|----------------|
| Name | William J. KUBIDA, Esq. | | | | |
| | Hogan & Hartson, LLP | | | | |
| Address | 1200 17 th Street | | | | |
| | Suite 1500 | | | | |
| City | Denver | State | CO | ZIP | 80202 |
| Country | US | Telephone | (719) 448-5900 | Fax | (719) 448-5922 |

| | | | |
|-------------------|-------------------------|------------------|------------|
| Name (Print/Type) | Steven K. Barton | Registration No. | 36,445 |
| (Signature) | <i>Steven K. Barton</i> | Date | 3 Nov 2000 |

FEE TRANSMITTAL for FY 2000

Complete if Known

| | |
|----------------------|-----------------|
| Application Number | ----- |
| Filing Date | Herewith |
| First Named Inventor | Richard Willems |
| Examiner Name | |
| Group / Art Unit | |
| Attorney Docket No. | PD99-2788 |

TOTAL AMOUNT OF PAYMENT (\$) **(\$)** 830.00

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **50-1123**

Deposit Account Name **Hogan & Hartson L.L.P.**

- ☒ Charge Any Additional Fee Required Under 37 CFR § 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

BASIC FILING FEE

| Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|------------------------|------------|
| 710 | 355 | Utility Filing Fee | 710 |
| 320 | 160 | Design filing fee | |
| 490 | 245 | Plant filing fee | |
| 710 | 355 | Reissue filing fee | |
| 150 | 75 | Provisional filing fee | |

SUBTOTAL (1) **(\$)**

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 17 | -20**= 0 | 18 | 0 |
| Independent Claims | 4 | -3**= 1 | 80 |
| Multiple Dependent | | | 0 |

**or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description |
|-----------------------|-----------------------|-----------------------|-----------------------|---|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid |
| 109 | 80 | 209 | 40 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$)80.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|--|----------|
| 130 | 65 | Surcharge - late filing fee or oath | |
| 50 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 130 | 130 | Non-English specification | |
| 2,520 | 2,520 | For filing a request for ex parte reexamination | |
| 920* | 920* | Requesting publication of SIR prior to Examiner action | |
| 1,840* | 1,840* | Requesting publication of SIR after Examiner action | |
| 110 | 55 | Extension for reply within first month | |
| 390 | 195 | Extension for reply within second month | |
| 890 | 445 | Extension for reply within third month | |
| 1,390 | 695 | Extension for reply within fourth month | |
| 1,890 | 945 | Extension for reply within fifth month | |
| 310 | 155 | Notice of Appeal | |
| 310 | 155 | Filing a brief in support of an appeal | |
| 270 | 135 | Request for oral hearing | |
| 1,510 | 1,510 | Petition to institute a public use proceeding | |
| 110 | 55 | Petition to revive - unavoidable | |
| 1,240 | 620 | Petition to revive - unintentional | |
| 1,240 | 620 | Utility issue fee (or reissue) | |
| 440 | 220 | Design issue fee | |
| 600 | 300 | Plant issue fee | |
| 130 | 130 | Petitions to the Commissioner | |
| 50 | 50 | Petitions related to provisional applications | |
| 240 | 240 | Submission of Information Disclosure Stmt | |
| 40 | 40 | Recording each patent assignment per property (times number of properties) | 40.00 |
| 710 | 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 710 | 355 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 710 | 355 | Request for Continued Examination | |
| | | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid **SUBTOTAL (3)**

(\$)40.00

SUBMITTED BY

Name **Steven K. Barton**

(Print/Type)

Signature

Steven K. Barton

Registration No. (Attorney/Agent)

36,445

Telephone

(719) 448-5900

Date

3 Nov 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Richard Willems

Serial No. _____

Filed: Herewith

For: SYSTEM AND METHOD FOR COLLECTING SYSTEM
DATA USING RECORD BASED REQUESTS WITH TAG
LISTS AND PAUSING ALL BUT ONE THREAD OF A
COMPUTER SYSTEM

Group Art Unit: _____

Examiner: _____



CERTIFICATE OF MAILING BY EXPRESS MAIL

BOX PATENT APPLICATION

Assistant Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:

1. Utility Patent Application Transmittal;
2. Fee Transmittal and \$ 790 filing fee;
3. Utility Patent Application;
4. Executed Declaration;
5. Executed Power of Attorney by Assignee
6. 8 sheets of drawings;
7. Recordation Form Cover Sheet PTO 1595 with Executed
Assignment and Recording Fee of \$40.00;
8. Return postcard; and
9. Certificate of Mailing By Express Mail

relating to the above application, were deposited as "Express Mail", Mailing Label No. EL700671685US
with the United States Postal Service, addressed to The Commissioner of Patents and Trademarks,
Washington, D.C., 20231, Nov 3, 2000.

Nov 3, 2000
Date

3 Nov 2000
Date

Julie M. Trowell
Mailer

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